

Applicant or Patentee:
Serial or Patent No.:
Filed or Issued:
For Title:

Spencer et al.

Attorney's
Docket No.:

P01934US1

Regulated Apoptosis Using Chemically Induced Dimerization of Apoptosis Factors

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION Baylor College of Medicine
ADDRESS OF ORGANIZATION One Baylor Plaza
Houston, TX 77030

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) AND 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled Regulated Apoptosis Using Chemically Induced Dimerization of Apoptosis Factors by inventor(s) _____ described in _____

- ☒ the specification filed herewith
- ☐ application serial no. _____, filed _____
- ☐ patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING W. Dalton Tomlin
TITLE IN ORGANIZATION Senior Vice President and General Counsel
ADDRESS OF PERSON SIGNING Baylor College of Medicine,
One Baylor Plaza, Houston, TX 77030
SIGNATURE [Signature] DATE 9/29/2000

Express Mail EK102712117US

INVENTOR DECLARATION

Attorney Docket No.
P01934US1

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **"REGULATED APOPTOSIS USING CHEMICALLY INDUCED DIMERIZATION OF APOPTOSIS FACTORS"**, the specification of which

(check one) ☐ is attached hereto.
☒ was filed on 30 March 1999 as PCT international application No. US99/06799
and was amended on 21 June 2000
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

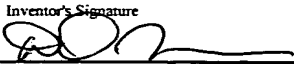
<u>60/079,831</u>	<u>30 March 1998</u>
(Application Serial No.)	(Filing Date)
_____	_____
(Application Serial No.)	(Filing Date)

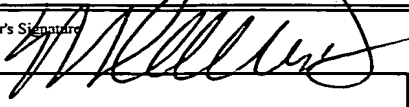
I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior U.S. or PCT international application in the manner provided by the first paragraph of Title 35, U.S.C. §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Express Mail EK102712117US

Full Name of Sole or First Inventor David M. Spencer	Inventor's Signature 	Date 9-29-00
Residence 810 Marston Street, Houston, Texas 77019 7300 BROMPTON #5723	Citizenship US	
Post Office Address Same as above Houston, TX 77025 TX		

Full Name of Second Inventor Kevin M. Slawin	Inventor's Signature 	Date 9-29-00
Residence 6560 Fannin Street, Houston, Texas 77030 TX	Citizenship US	
Post Office Address Same as above		

Full Name of Third Inventor	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

Full Name of Fourth Inventor	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

Full Name of Fifth Inventor	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

Full Name of Sixth Inventor	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

Full Name of Seventh Inventor	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

Full Name of Eighth Inventor	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

SCANNED #